



**U.S. Department of Energy
Technical Qualification Program**

Occupational Safety Qualification Standard

Study Guide

<p>Section 3.0 Administrative</p>
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April 1996



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Competency 3.2 Occupational safety personnel shall demonstrate a familiarity with accident and incident reporting, recording, and data management requirements.

1. Supporting Knowledge and Skills

- Identify applicable Department of Energy and Occupational Safety and Health Administration reporting and recording Orders, regulations and standards and discuss the major elements of each.
- Describe the role that accident and injury data plays in an effective occupational safety program.

2. Self-Study Activities (corresponding to the intent of the above competency)

- NOTES:
- The DOE Orders are in a state of transition. Please refer to the following gopher site for a cross reference of new and old Orders:
gopher://VM1.HQADMIN.DOE.GOV:70/00/doemenu1/directiv/251cross.asc
 - Below are three web sites containing many of the references you may need.

Web Sites		
Organization	Site Location	Notes
Department of Energy	http://cted.inel.gov/cted/index.htm	DOE Standards, Guides, and Orders.
OSHA	http://www.osha-slc.gov/	OSHA documents and search engine
U.S. House of Representatives	http://law.house.gov/cfr.htm	Searchable Code of Federal Regulations

Read the summary section below.

Scan each of the following references.

- Public Law 91-596, *Occupational Safety and Health Act of 1970*
- 10 CFR 1008, *Records Maintained on Individuals (Privacy Act)*
- 29 CFR 1904, *Recording and Reporting Occupational Injuries and Illnesses*
- 29 CFR 1905, *Rules of Practice for Variances, Limitations, Variations, Tolerances, and Exemptions Under the Williams-Steiger Occupational Safety and Health Act of 1970*



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- 29 CFR 1910, *Occupational Safety and Health Standards*
- 29 CFR 1915, *Occupational Safety and Health Standards for Shipyard Employees*
- 29 CFR 1918, *Safety and Health Regulations for Long shoring*
- 29 CFR 1926, *Safety and Health Regulations for Construction*
- 29 CFR 1928, *Safety and Health Standards for Agriculture*
- 29 CFR 1960, Subpart I, *Recordkeeping and Reporting Requirements*
- 29 CFR 1960.28, *Employee Reports of Unsafe or Unhealthful Working Conditions*
- 48 CFR Chapter 9, *Acquisition Regulation*
- DOE Order 1324.5B, *Records Management Program*
- DOE Order 3771.1, *Grievance Policy and Procedures*
- DOE Order 3790.1B, *Federal Employee Occupational Safety and Health Program*
- DOE Order 5000.3B, *Occurrence Reporting and Processing of Operations Information*
- DOE Order 5480.1B, *Environment, Safety, and Health Program for Department of Energy Operations*
- DOE Order 5480.4, *Environmental Protection, Safety, and Health Protection Standards*
- DOE Order 5480.10, *Contractor Industrial Hygiene Program*
- DOE Order 5482.1B, *Environment, Safety, and Health Appraisal Program*
- DOE Order 5483.1A, *Occupational Safety and Health Program for DOE Contractor Employees at Government-Owned, Contractor-Operated Facilities*
- DOE Order 5484.1, *Environmental Protection, Safety, and Health Protection Information Reporting Requirements*

EXERCISE 3.2-A While referring to each of the following references, describe the purpose of the reference with respect to reporting and recording requirements.

- 29 CFR 1904
- 29 CFR 1960, Subpart I
- 29 CFR 1960.28
- DOE Order 1324.5B
- DOE Order 5484.1

EXERCISE 3.2-B List at least three activities that are performed using accident and injury data in an effective occupational safety program.

3. Summary

Accident and incident reporting, recording, and data management play an important role in an effective occupational safety program. Uniform requirements in this area have been established to ensure the following:



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- Collection and compilation of occupational safety and health data
- Evaluation of compiled data
- Identification of unsafe and unhealthful working conditions
- Development of action plans for correction or mitigation of the safety or health concerns
- Establishment of program priorities
- Notification of the Secretary of Energy of serious incidents
- Development and maintenance of an effective safety and health program

Occupational safety personnel must be familiar with accident and incident reporting, recording, and data management requirements. These requirements are contained in a wide variety of Orders, regulations, and standards. The following list contains most, but perhaps not all, of those requirements. A short statement of scope follows each.

Regulations

- Public Law 91-596, *Occupational Safety and Health Act of 1970* -- establishes federal requirements for assuring occupational safety and health protection for employees.
- 10 CFR 1008, *Records Maintained on Individuals (Privacy Act)* -- provides the procedures to implement the Privacy Act of 1974 (5 U.S.C. 552a) within the Department of Energy.
- 29 CFR 1904, *Recording and Reporting Occupational Injuries and Illnesses* -- provides criteria for recording and reporting occupational illnesses.
- 29 CFR 1905, *Rules of Practice for Variances, Limitations, Variations, Tolerances, and Exemptions Under the Williams-Steiger Occupational Safety and Health Act of 1970* -- contains rules of practice for administrative proceedings to grant variances and other relief under the act and to provide limitations, variations, tolerances, and exemptions under the Act.
- 29 CFR 1910, *Occupational Safety and Health Standards* -- provides general industry safety and health standards pursuant to Public Law 91-596.
- 29 CFR 1915, *Occupational Safety and Health Standards for Shipyard Employees* -- provides shipyard safety and health standards pursuant to Public Law 91-596.
- 29 CFR 1918, *Safety and Health Regulations for Agriculture* -- provides agriculture safety and health standards pursuant to Public Law 91-596.
- 29 CFR 1926, *Safety and Health Regulations for Construction* -- provides construction safety and health standards pursuant to Public Law 91-596.
- 29 CFR 1928, *Safety and Health Standards for Long shoring* -- provides longshoring safety and health standards pursuant to Public Law 91-596.
- 29 CFR 1960, Subpart I, *Recordkeeping and Reporting Requirements* -- establishes requirements for the collection, compilation, evaluation, and corrective action by agencies related to occupational safety and health data.



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- 29 CFR 1960.28, *Employee Reports of Unsafe or Unhealthful Working Conditions* -- provides guidance in establishing a channel of communication between agency employees and those with responsibilities for safety and health matters.
- 48 CFR Chapter 9, *Acquisition Regulation* -- contains the occupational safety and health contract clause.

DOE Orders

- DOE Order 1324.5B, *Records Management Program* -- provides records management, exposure record maintenance, and retention periods requirements for DOE and contractor records.
- DOE Order 3771.1, *Grievance Policy and Procedures* -- provides general guidance and instructions and states responsibilities for establishing and administering the grievance system.
- DOE Order 3790.1B, *Federal Employee Occupational Safety and Health Program* -- defines policy for federal employee safety and health programs.
- DOE Order 5000.3B, *Occurrence Reporting and Processing of Operations Information* -- establishes a system for reporting operations information related to DOE-owned or -operated facilities and processing that information to provide for appropriate corrective action in accordance with the policy set forth in this Order.
- DOE Order 5480.1B, *Environment, Safety, and Health Program for Department of Energy Operations* -- establishes the environmental protection, safety, and health protection program for DOE operations.
- DOE Order 5480.4, *Environmental Protection, Safety, and Health Protection Standards* -- provides mandatory industrial hygiene standards and exemption procedures; establishes a process for reporting information regarding safety and health hazards and/or situations believed to be in nonconformance with the DOE-prescribed OSHA standards.
- DOE Order 5480.10, *Contractor Industrial Hygiene Program* -- establishes the requirements and guidelines applicable to Department of Energy contractor operations for maintaining an effective industrial hygiene program to preserve employee health and well-being.
- DOE Order 5482.1B, *Environment, Safety, and Health Appraisal Program* -- provides requirements for appraisals of DOE and DOE contractor industrial hygiene programs.
- DOE Order 5483.1A, *Occupational Safety and Health Program for DOE Contractor Employees at Government-Owned, Contractor-Operated Facilities* -- provides occupational safety and health protection to DOE contractor employees consistent with the protection afforded private industry employees under OSHA.
- DOE Order 5484.1, *Environmental Protection, Safety, and Health Protection Information Reporting Requirements* -- establishes the requirements and procedures for the reporting of information having environmental protection, safety, or health protection significance



for DOE operations.

4. Exercise Solutions

EXERCISE 3.2-A While referring to each of the following references, describe the purpose of the reference with respect to reporting and recording requirements.

- 29 CFR 1904
- 29 CFR 1960, Subpart I
- 29 CFR 1960.28
- DOE Order 1324.5B
- DOE Order 5484.1

ANSWER 3.2-A

- 29 CFR 1904, *Recording and Reporting Occupational Injuries and Illnesses* -- provides criteria for recording and reporting occupational illnesses.
- 29 CFR 1960, Subpart I, *Recordkeeping and Reporting Requirements* -- establishes requirements for the collection, compilation, evaluation, and corrective action by agencies related to occupational safety and health data.
- 29 CFR 1960.28, *Safety and Health Standards for Long shoring* -- provides longshoring safety and health standards pursuant to Public Law 91-596.
- DOE Order 1324.5B, *Records Management Program* -- provides records management, exposure record maintenance, and retention periods requirements for DOE and contractor records.
- DOE Order 5484.1, *Environmental Protection, Safety, and Health Protection Information Reporting Requirements* -- establishes the requirements and procedures for the reporting of information having environmental protection, safety, or health protection significance for DOE operations.

EXERCISE 3.2-B List at least three activities that are performed using accident and injury data in an effective occupational safety program.

ANSWER 3.2-B Any three of the following activities constitute a correct answer.

- Collection and compilation of occupational safety and health data
- Evaluation of compiled data
- Identification of unsafe and unhealthful working conditions
- Development of action plans for correction or mitigation of the



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safety or health concerns



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- Establishment of program priorities
- Notification of the Secretary of Energy of serious incidents
- Development and maintenance of an effective safety and health program.



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Competency 3.3 Occupational safety personnel shall demonstrate a familiarity level knowledge with the training and qualification program(s) requirements for occupational safety professionals.

1. Supporting Knowledge and Skills

- Discuss the need for a qualified safety professional in an effective occupational safety program.
- Discuss the requirements for and role of Individual Development Plans (IDPs).
- Discuss the importance and methods of achieving, continued training and professional development for occupational safety professionals.

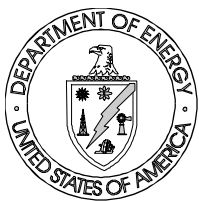
2. Self-Study Activities (corresponding to the intent of the above competency)

- NOTES:
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OSHA	http://www.osha-slc.gov/	OSHA documents and search engine
U.S. House of Representatives	http://law.house.gov/cfr.htm	Searchable Code of Federal Regulations

Read DOE Order 5480.20A, *Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities*

EXERCISE 3.3-A Review the exercises and exercise solutions for Occupational Safety Competency 1.5.



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EXERCISE 3.3-A(2) Why does an effective occupational safety program require a qualified safety professional?

Read DOE Order 360.1, Chapter I,1, *Training*

EXERCISE 3.3-B Using DOE Order 360.1, explain why Individual Development Plans (IDPs) are required for DOE technical employees.

EXERCISE 3.3-C Discuss the importance of and methods of achieving continued training and professional development for occupational safety professionals.

Read DOE Order 3790.1B, *Federal Employee Occupational Safety and Health Program*, Chapter V.

EXERCISE 3.3-D Using DOE Order 3790.1B as a reference, identify the training and qualification requirements for federal safety and health professionals.

3. Summary

It is DOE's goal to ensure quality performance from a technically competent, versatile, and diverse workforce, and to protect the public, workers, and the environment. The constantly changing field of occupational safety requires trained and qualified professional employees continually refreshing and enhancing their skills and knowledge. To achieve this goal, DOE has established standards for training and qualification of occupational safety employees to ensure this competence and currency in their field. The Individual Development Plan and the Technical Qualification Program are two examples of these standards.

4. Exercise Solutions

EXERCISE 3.3-A Review the exercises and exercise solutions for Occupational Safety Competency 1.5.

ANSWER 3.3-A None

EXERCISE 3.3-A Why does an effective occupational safety program require a qualified



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safety professional?

ANSWER 3.3-A Occupational safety is subject to constant change. An effective occupational safety program must be continually reexamined in the light of the changing scientific and regulatory to ensure that the program remains current and compliant. The varied and complex nature of the subject matter in occupational safety requires a qualified safety professional to interpret and react appropriately to these changes.

EXERCISE 3.3-B Using DOE Order 360.1, explain why Individual Development Plans (IDPs) are required for DOE technical employees.

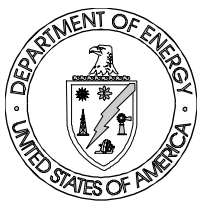
ANSWER 3.3-B IDPs are part of the Department's strategic plan for developing and maintaining a competent workforce. They provide a mechanism to establish the employee's training, development, and qualification needs based on the departmental and organizational goals, objectives, and mission; Technical Qualification Standards for the position; and the employee's personal and professional development goals.

EXERCISE 3.3-C Discuss the importance of and methods of achieving continued training and professional development for occupational safety professionals.

ANSWER 3.3-C Importance: Occupational safety professionals must continually enhance and improve their knowledge and skills to keep pace with the evolving standards of the profession. Unless continued training and professional development are provided, the occupational safety professional's knowledge and value to the organization will erode past the point of usefulness.

Methods: The plan for continuing professional development should be documented in the employee's IDP and monitored regularly. Many different methods are possible to achieve the continued training and professional development required to remain current in the field. Some of these are:

- Professional conferences
- Mentoring with another professional
- University or technical courses
- Directed self-study
- On-the-job training



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- Vendor-provided training (usually on new equipment)
- Other classroom training

EXERCISE 3.3-D Using DOE Order 3790.1B as a reference, identify the training and qualification requirements for federal safety and health professionals.

ANSWER 3.3-D Chapter V of DOE Order 3790.1B specifies the following training requirements for federal safety and health professionals.

Federal Staff Classification	Occupational Safety Training Requirement Identified in DOE Order 3790.1B
Top Management	Top management shall be provided orientation training that will enable them to manage their programs in a safe manner. Such orientation training should include coverage under section 19 of the Occupational Safety and Health Act of 1970, Executive Order 12196, 29 CFR 1960, and the DOE Federal Employee Occupational Safety and Health Program.
Supervisors	Supervisors shall be trained through introductory and specialized courses and materials to recognize and eliminate occupational safety and health hazards in their work units. Such training should also include the development of requisite skills in managing the safety and health program within their work unit, including the training and motivation of subordinates toward safe and healthful work practices.
Employees	Occupational safety and health training for employees shall include specialized job safety and health training appropriate to the work performed. Such training shall also include informing employees of their rights and responsibilities under section 19 of the Occupational Safety and Health Act of 1970, Executive Order 12196, 29 CFR 1960, and the DOE Federal Employee Occupational Safety and Health Program.
Representatives of Employees	Training for employees who are representatives of employee groups, such as labor organizations that are recognized by the Department, shall include introductory and specialized courses and materials, which will enable such groups to function appropriately in the interest of ensuring safe and healthful working conditions and practices in the workplace and, in particular, to enable them to effectively assist in the conduct of workplace safety and health inspections. Nothing in this paragraph shall be construed to alter the provisions of the <i>Federal Service Labor-Management Relations Statute</i> , or other provisions of law providing for collective bargaining agreements and procedures, or any agreements entered into pursuant to such provisions.



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Federal Staff Classification	Occupational Safety Training Requirement Identified in DOE Order 3790.1B
Safety and Health Professionals	Safety and health personnel shall be trained through courses, laboratory experiences, field study, and other learning experiences to perform the necessary technical monitoring, consulting, testing, inspecting, designing, and other tasks.
Collateral Duty Safety Personnel	Training should be designed so as to develop skills in hazard recognition, obtaining qualified evaluations, recommending corrective action, and functioning as consultants to management.